



Practitioner's Docket No. U 012951-1

1614 \$1

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of CHUNG-YING HUANG, et al

Serial No.: 09/768,442

Group No.: 1614

Filed: JANUARY 24, 2001

Examiner: JEROME D. GOLDBERG

For: PHARMACEUTICAL COMPOSITION FOR THE TREATMENT OF  
HEPATOCELLULAR CARCINOMA

Assistant commissioner for Patents  
Washington, D.C. 20231

#8  
S1098  
11-5-02

AMENDMENT TRANSMITTAL

- Transmitted herewith is an amendment for this application.

STATUS

- Applicant is

- a small entity. A statement:  
 is attached.  
 was already filed.  
 other than a small entity.

10/21/2002 YPOLITE1 00000015 09768442

01 FC:2253

460.00 OP

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CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8(a))

I hereby certify that, on the date shown below, this correspondence is being:

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- deposited with the United States Postal Service  
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Trademark Office.

Signature

JOHN RICHARDS

(type or print name of person certifying)

Date: October 15, 2002

## EXTENSION OF TERM

**NOTE:** "Extension of Time in Patent Cases (Supplement Amendments) — If a timely and complete response has been filed after a Non-Final Office Action, an extension of time is not required to permit filing and/or entry of an additional amendment after expiration of the shortened statutory period.

*If a timely response has been filed after a Final Office Action, an extension of time is required to permit filing and/or entry of a Notice of Appeal or filing and/or entry of an additional amendment after expiration of the shortened statutory period unless the timely-filed response placed the application in condition for allowance. Of course, if a Notice of Appeal has been filed within the shortened statutory period, the period has ceased to run." Notice of December 10, 1985 (1061 O.G. 34-35).*

**NOTE:** See 37 C.F.R. 1.645 for extensions of time in interference proceedings, and 37 C.F.R. 1.550(c) for extensions of time in reexamination proceedings.

3. The proceedings herein are for a patent application and the provisions of 37 C.F.R. 1.136 apply.

*(complete (a) or (b), as applicable)*

- (a)  Applicant petitions for an extension of time under 37 C.F.R. 1.136  
(fees: 37 C.F.R. 1.17(a)(1)-(4)) for the total number of months checked below:

Extension <u>(months)</u>	Fee for other than <u>small entity</u>	Fee for <u>small entity</u>
<input type="checkbox"/> one month	\$ 110.00	\$ 55.00
<input type="checkbox"/> two months	\$ 400.00	\$ 200.00
<input checked="" type="checkbox"/> three months	\$ 920.00	\$ 460.00
<input type="checkbox"/> four months	\$ 1,440.00	\$ 720.00

Fee: \$ 460.00

If an additional extension of time is required, please consider this a petition therefor.

*(check and complete the next item, if applicable)*

- An extension for \_\_\_\_\_ months has already been secured. The fee paid therefor of  
\$ \_\_\_\_\_ is deducted from the total fee due for the total months of extension now  
requested.

Extension fee due with this request      \$ \_\_\_\_\_

**OR**

- (b)  Applicant believes that no extension of term is required. However, this is a  
conditional petition being made to provide for the possibility that applicant has  
inadvertently overlooked the need for a petition for extension of time.

## FEE FOR CLAIMS

4. The fee for claims (37 C.F.R. 1.16(b)-(d)) has been calculated as shown below:

	(Col. 1)	(Col. 2)	(Col. 3)	SMALL ENTITY			OTHER THAN A SMALL ENTITY		
Claims Remaining After Amendment		Highest No. Previously Paid For		Present Extra	Rate	Addit. Fee	OR	Rate	Addit. Fee
Total	*	Minus	**	=	x \$ 9=	\$	x \$ 18=	\$	
Indep.	*	Minus	***	=	x \$ 42=	\$	x \$ 84=	\$	
<input type="checkbox"/> First Presentation of Multiple Dependent Claims					+ \$140=	\$	+ \$280=	\$	
					Total Addit. Fee	\$ ____	OR	Total Addit. Fee	\$ ____

- \* If the entry in Col. 1 is less than the entry in Col. 2, write "O" in Col. 3,
  - \*\* If the "Highest No. Previously Paid For" IN THIS SPACE is less than 20, enter "20".
  - \*\*\* If the "Highest No. Previously Paid For" IN THIS SPACE is less than 3, enter "3".
- The "Highest No. Previously Paid For" (Total or Indep.) is the highest number found in the appropriate box in Col. 1 of a prior amendment or the number of claims originally filed.

**WARNING:** *"After final rejection or action (§ 1.113) amendments may be made canceling claims or complying with any requirement of form which has been made." 37 C.F.R. 1.116(a) (emphasis added).*

*(complete (c) or (d), as applicable)*

(c)  No additional fee for claims is required.

**OR**

(d)  Total additional fee for claims required \$ \_\_\_\_\_.

## FEE PAYMENT

5.  Attached is a check in the sum of \$ 460.00.
- Charge Account No. 12-0425 the sum of \$ \_\_\_\_\_.  
A duplicate of this transmittal is attached.

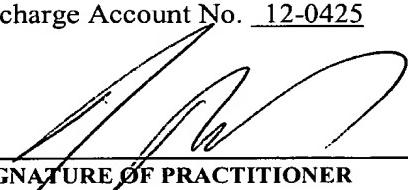
## FEE DEFICIENCY

NOTE: If there is a fee deficiency and there is no authorization to charge an account, additional fees are necessary to cover the additional time consumed in making up the original deficiency. If the maximum, six-month period has expired before the deficiency is noted and corrected, the application is held abandoned. In those instances where authorization to charge is included, processing delays are encountered in returning the papers to the PTO Finance Branch in order to apply these charges prior to action on the cases. Authorization to charge the deposit account for any fee deficiency should be checked. See the Notice of April 7, 1986, (1065 O.G. 31-33).

6.  If any additional extension and/or fee is required, charge Account No. 12-0425.

### AND/OR

- If any additional fee for claims is required, charge Account No. 12-0425

  
**SIGNATURE OF PRACTITIONER**

Reg. No. 31053

JOHN RICHARDS  
(type or print name of practitioner)

Tel. No. (212)708-1915

LADAS & PARRY  
P.O. Address

Customer No. 00140

26 WEST 61<sup>ST</sup> STREET  
NEW YORK, NEW YORK 10023



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IN RE APPLICATION OF: CHUNG-YING HUANG, ET AL

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**TRANSMITTAL OF SUBSTITUTE SPECIFICATION (37 C.F.R. 1.125)**

*NOTE: A substitute specification, excluding the claims, may be filed at any point up to payment of the issue fee if it is accompanied by items indicated below. See 37 CFR 1.125(b).*

1. Enclosed is a substitute specification for the originally filed specification in this application.

*NOTE: The substitute specification must be submitted in clean form without markings as to amended material. 37 CFR 1.125(c).*

2. *(complete the following applicable item)*

[ ] This substitute specification is submitted in response to a requirement by the Examiner.

OR

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**CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8(a))**

I hereby certify that, on the date shown below, this correspondence is being:

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- deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: October 15, 2002

**FACSIMILE**

- transmitted by facsimile to the Patent and Trademark Office.

Signature

JOHN RICHARDS  
(type or print name of person certifying)

This substitute specification is being voluntarily submitted, in order to facilitate the processing of the application.

3. Also enclosed is a marked-up copy of the substitute specification showing the matter being added to and the matter being deleted from the specification.

4. Accompanying this transmittal is a statement, as required by 37 C.F.R. 1.125, that the substitute specification transmitted herewith contains no new matter.



SIGNATURE OF PRACTITIONER

JOHN RICHARDS  
*(type or print name of practitioner)*

Reg. No. 31053

Tel. No.: (212)708-1905

Customer No.: 00140

LADAS & PARRY  
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OCT 22 2002

STATEMENT THAT SUBSTITUTE SPECIFICATION  
CONTAINS NO NEW MATTER (37 C.F.R. 1.125)

1. Identification of person making this statement

JOHN RICHARDS  
(*type or print name*)

C/O LADAS & PARRY  
Address  
26 WEST 61<sup>ST</sup> STREET  
NEW YORK, NEW YORK 10023

The person making this statement is:

(*complete applicable item*)

- [ ] the inventor in this application.  
[✓] the attorney in this application, Registration Number 31053.  
[ ] other (*indicate relationship*)

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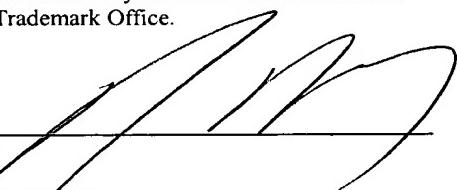
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Signature

  
JOHN RICHARDS  
(*type or print name of person certifying*)

Date: October 15, 2002

**2. Statement**

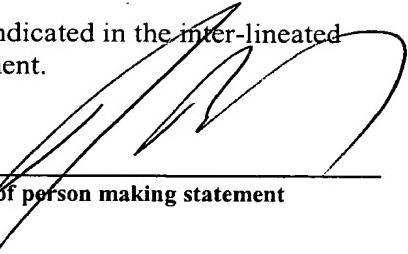
I hereby state that the accompanying substitute specification contains no new matter over that contained in the above-identified application originally filed.

*(complete the following, if applicable)*

- I further state that the changes made are the same as indicated in the inter-lineated substitute specification also accompanying this statement.

OCTOBER 15, 2002

date

  
Signature of person making statement

JOHN RICHARDS

*(type or print name of practitioner)*

LADAS & PARRY

P.O. Address

26 WEST 61<sup>ST</sup> STREET

NEW YORK, NEW YORK 10023